



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Dzu D. Luong and Patrick W. Mullen  
Application No.: 10/634,122 Group Art Unit: 2872  
Filed: August 4, 2003 Examiner: Not Yet Assigned  
Confirmation No.: 5748  
Title: OPTICAL STRUCTURES INCLUDING POLYUREA

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
1-5-04	<i>Sharon G. Carlisle</i>
Date	Signature
Sharon G. Carlisle	
Typed or printed name of person signing certificate	

INFORMATION DISCLOSURE STATEMENT

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ A copy of cited reference AL is enclosed.
- ☒ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
- ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☒ The "concise explanation" requirement (non-English references) for reference AL under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☒ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]  
\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

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Dated: January 5, 2004  
Concord, Massachusetts 01742-9133

PTO-1449 REPRODUCED

ATTORNEY DOCKET NO.  
1571.2049-001APPLICATION NO.  
10/634,122INFORMATION DISCLOSURE CITATION  
IN AN APPLICATIONFIRST NAMED INVENTOR  
Dzu D. LuongFILING DATE  
August 4, 2003

January 5, 2004

EXAMINER  
Not Yet AssignedCONFIRMATION NO.  
5748GROUP  
2872

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	6,533,961 B2	03-17-2003	Harelstad et al.
	AB	6,521,718 B2	02-18-2003	Goeb et al.
	AC	6,372,341 B1	04-16-2002	Jung et al.
	AD	6,350,823 B1	02-26-2002	Goeb et al.
	AE	6,323,266 B2	11-27-2001	Phillips
	AF	6,322,236 B1	11-27-2001	Campbell et al.
	AG	6,303,058 B1	10-16-2001	Kelley et al.
	AH	6,291,586 B2	09-18-2001	Lasch et al.
	AI	6,197,393 B1	03-06-2001	Jing et al.
	AJ	6,191,200 B1	02-20-2001	Phillips
	AK	6,163,402	12-19-2000	Chou et al.
	AA2	6,130,730	10-10-2000	Jannson et al.
	AB2	6,107,436	08-22-2000	Goeb et al.
	AC2	5,985,444	11-16-1999	Olson et al.
	AD2	5,936,770	08-10-1999	Nestegard et al.
	AE2	5,840,352	11-24-1998	Shimizu et al.
	AF2	5,836,674	11-17-1998	Nishitani et al.
	AG2	5,706,132	01-06-1998	Nestegard et al.
	AH2	5,300,263	04-05-1994	Hoopman et al.
	AI2	5,236,741	08-17-1993	Zwiener et al.
	AJ2	5,126,170	06-30-1992	Zwiener et al.
	AK	4,425,468	01-10-1984	Makhlouf et al.
	AA3	4,254,176	03-03-1981	Müller et al.
	AB3			
	AC3			

EXAMINER

DATE CONSIDERED

PTO-1449 REPRODUCED

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

January 5, 2004

(Use several sheets if necessary)

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1571.2049-001

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 FIRST NAMED INVENTOR  
Dzu D. Luong

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August 4, 2003

 EXAMINER  
Not Yet Assigned

 CONFIRMATION NO.  
5748

 GROUP  
2872

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION	
					YES	NO
	AL	JP 07-258370	10-09-1995	Ulvac Japan Ltd.	X (abstract only)	
	AM					
	AN					
	AO					
	AP					
	AQ					
	AL2					
	AM2					
	AN2					
	AO2					
	AP2					
	AQ2					
	AL3					
	AM3					
	AN3					
	AO3					
	AP3					
	AQ3					
	AL4					
	AM4					
	AN4					
	AO4					
	AP4					
	AQ4					

EXAMINER

DATE CONSIDERED